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Office of the President  
September 13, 2018

Members, Audit and Compliance Committee:

PROPOSED INTERNAL AUDIT FISCAL YEAR 2019 WORK PLAN

Recommendation: That the proposed Internal Audit Fiscal Year 2019 Work Plan be approved for the second quarter of the 2019 Fiscal Year.

Background: Per the Internal Audit Charter, the Committee is required to review and approve the Internal Audit Work Plan at least annually. The first quarter Work Plan is attached.

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Action taken:     Approved     Disapproved     Other \_\_\_\_\_

# Proposed Internal Audit Fiscal Year 2019 Work Plan (Second Quarter)

<b>I</b>	<b>Compliance Program</b>	<b>Assignments</b>	<b>Description</b>
1	Current Activity	0	Carry Forward Process Validation
2	New Process Validation	2	Unannounced / Surprise Audits-Planned (Section III.2)
3	Annual Transaction Validation	2	Data Mining Exceptions (Section III.2)
<b>II</b>	<b>Business / Operations</b>	<b>Assignments</b>	<b>Description</b>
1	Current Activity	2	Carry Forward Business / Operations Activity (Section III.3)
2	New Activities	Multiple	Based on Risk Assessment Priority (Section III.3)
<b>III</b>	<b>Information Technology</b>	<b>Assignments</b>	<b>Description</b>
1	Current Activity	2	Carry Forward Information Technology Activities
2	Compliance Program Support	4	IT Component (Sections I.2 & I.3)
3	Business / Operations Support	2	Evaluations based on CoBit Model (Sections II.1 & II.2)
4	New Activities	Multiple	IT Projects Based on Risk Assessment Priority
<b>IV</b>	<b>UKIA Continuous Activities</b>	<b>Assignments</b>	<b>Description</b>
1	Current Activity	9	Carry Forward Follow-Up and Investigations
2	New Follow-Up Reviews	3	Audit Process and Infrastructure Improvements
3	Investigations / Inquiries	Multiple	Proactive and Reactive Inquiries